

Question by Question Instructions on Client Reporting

Question #8(b)(1) - for licensed professionals who have provided services directly to clients; or have referred clients to their firm during the reporting period in connection with:

(1) a contract in an amount totaling \$10k or more from the state or any state agency for services, materials or property;

(2) a grant of \$10k or more from the state or any state agency during the reporting period;

(3) a grant obtained through a legislative initiative during the reporting period;

(4) a case, proceeding, application or other matter that is not a ministerial matter before a state agency during the reporting period;

1) Do you have reportable income from employment/activity listed in Question 8(a)?

NO – DO NOT REPORT

YES – go to Question #2

2) Did you or your firm personally provide services to any person or entity for fees in excess of \$10k?

(for purposes of reporting “services” shall mean consultation, representation, advice, or other services.)

NO – DO NOT REPORT

YES, I personally provided services...go to Question #4

YES, my firm provided services... go to Question #3

3) Did you refer the client or entity to your firm and receive a referral fee or fees for such referral?

(for purposes of reporting “referred to the firm” means having intentionally and knowingly taken a specific act or series of acts to intentionally procure for the reporting individual’s firm or having knowingly solicited or directed to the reporting individual’s firm in whole or substantial part a person or entity that becomes a client of that firm for the purposes of representation for a matter as defined below)

NO – DO NOT REPORT

YES – go to question #4

4) Were the services provided to the person or entity in direct connection with:

- a contract in an amount totaling \$10k or more from the state or any state agency for services materials or property; or
- a grant of \$10k or more from the state or any state agency during the reporting period; or
- a grant obtained through a legislative initiative during the reporting period; or
- a case proceeding, application or other matter that is not a ministerial matter before a state agency during the reporting period

NO – DO NOT REPORT

YES, I provided such services directly to client – REPORT

1) Name of client

2) Description of the matter/services actually provided

3) Category of value (from FDS form Table I) for payment received

Or;

YES, My firm provided such services and I received a referral fee(s) – REPORT

1) Client name

2) Category of value (from FDS form Table I) for payment received

Question #8(b)(2)(i) – for licensed professional who provide services directly to clients or customers who are NOT otherwise disclosed in Question 8

1) Do you have \$10k or more in reportable income from employment/activity listed in Question 8(a)?

NO – DO NOT REPORT

YES – go to Question #2

2) Did you receive payment in excess of \$5k from any client for services actually provided by you?

(for purposes of reporting “services” shall mean consultation, representation, advice, or other services.)

NO – go to Question #3

YES – REPORT

1) Name of Client

2) Description of Services Provided

3) Category of value (from FDS form Table I) for amount received

3) Did your firm bill a client in excess of \$5k for services actually provided by you?

NO – DO NOT REPORT

YES – REPORT

1) Name of Client

2) Description of Services Provided

3) Category of value (from FDS form Table I) for amount received

Statutory examples of “services actually provided”:

Reviewed documents and correspondence;

Represented client in legal proceeding;

Provided legal advice on a client matter;

Consulted with client or law partners/members on client matter;

Prepared certified financial statement for client;

Referred individual or entity;

Commercial Brokering Services;

Prepared certified architectural or engineering renderings for client;

Court appointed guardian or evaluator

Question #8(b)(2)(ii) – for licensed professional who DO NOT provide services directly to clients, but do provide services to a firm or business listed in Question 8(a)

1) Do you have any reportable employment/activity listed in Question 8(a)? (Including employment/activity already reported in 8(b)(1) and 8(b)(2)(i))

NO – DO NOT REPORT

YES – go to Question #2

2) Did you provide services directly to clients?

(for purposes of reporting “services” shall mean consultation, representation, advice, or other services.)

NO – go to Question #3

YES – DO NOT REPORT

3) Did you provide services to a firm or business?

(for purposes of reporting “services” shall mean consultation, representation, advice, or other services.)

NO – DO NOT REPORT

YES – REPORT

1) Describe services rendered

2) Category of value (from FDS form Table I) for amount received

Question #8(c) – reporting information on registered lobbyists and the clients they refer to a reporting individual’s business and from whom the reporting individual receives a fee for services

1) Do you have \$10k or more in reportable income from employment/activity listed in Question 8(a)?

NO – DO NOT REPORT

YES – go to Question #2

2) Has a lobbyist directly referred a client to your business?

NO – DO NOT REPORT

YES – go to Question #3

3) Did you or your firm receive a fee for services in excess of \$5K as a result of this referral?

NO – DO NOT REPORT

YES – REPORT

1) Name of Client

2) Name of registered lobbyist who made the referral

3) Category of value for compensation received (from FDS form Table I)

4) General description of the type of matter referred

EXEMPTIONS AND EXCEPTIONS

****The statute provides for a number of client disclosure exceptions and a process for applying for an exemption through either the Office of Court Administration or the Joint Commission on Public Ethics. The Office of Court Administration Link is currently on the LEC website.**

Clients Exempt from Reporting on Questions 8(b-1); (b-2) and (c):

- medical, pharmaceutical or dental services;
- residential real estate brokering services
- legal representation of clients relative to:
 - investigation or prosecution by law enforcement authorities
 - bankruptcy
 - family court
 - estate planning
 - domestic relations matters
 - individuals represented pursuant to an insurance policy (list only the entity providing compensation to the reporting individual)

Initials to be reported in lieu of client's name:

- Matters where client's name is required to be kept confidential – report initials only
- Minor client

“Locked Box” for legal representation relative to an initial public offering